

**Appendix A\_eZ-Audit R 2.0 Requirements Matrix 3\_10\_2004.xls**

| R20 Tag | Name       | Requirement text  | Release Schedule | Priority | Comments | Source  |
|---------|------------|---|------------------|----------|----------|---|
| R20678  | ADMIN STAY | The system will allow Co-Team leaders to place individual school group member submissions on admin stay.  | 2.x              |          |          | 2/24/2004 CCB   |
| R20638  | INC        | The system will send "follow-up" email messages to institutions with incomplete submissions to ask them to submit (1st at 15 days and 2nd at 30 days).  | 2.x              | H        |          | 1/14/2004 CCB   |
| R20639  | INC        | The system will cc the appropriate Co-Team Leaders on an incomplete notification email (on last attempt) based on the team of the Institution with the incomplete record.   | 2.x              | H        |          | 1/14/2004 CCB<br>(revised to include reference to team in 3/2/2004 CCB) |
| R20680  | INC        | The system will send follow-up email messages for both incomplete Annual and Non-Annual Submissions.  | 2.x              |          |          | 3/2/2004 CCB  |
| R20681  | INC        | The system will send an "incomplete" e-mail to the Locator (the Financial Statement contact) and the individual members whose submissions were marked incomplete for an unconsolidated School Group with an incomplete submission.  | 2.x              |          |          | 3/2/2004 CCB  |
| R20683  | INC        | The system will CC the eZ-Audit mailbox on all incomplete emails sent by the system.  | 2.x              |          |          | 3/2/2004 CCB  |
| R20692  | INC        | The system will display an "incomplete" notification on the INS home page to all schools in a School Group when a portion of a School Group submission is incomplete.   | 2.x              |          |          | 3/2/2004 CCB  |
| R20693  | INC        | The system will display an Incomplete grid to all schools showing who has submitted and needs to resubmit for an incomplete school group submission.  | 2.x              |          |          | 3/2/2004 CCB  |
| R20696  | INC        | The system will display text in the "Incomplete Letter" stating that a resubmission is due within "15 calendar" days from the date of the letter.   | 2.x              | H        |          | 3/9/2004 CCB  |
| R20697  | INC        | The system will display "Submission Type," "FYE" (when applicable), and "Submit Date/Time" when referencing an incomplete submission in the Incomplete Letter.  | 2.x              | H        |          | 3/9/2004 CCB  |
| R20647  | INS        | The system will provide language on the INS Submit page stating "If you do not have the Submit To ED button Submitter is not indicated as one of your user roles. Please see the Manage Users Section of Help."   | 2.x              | H        |          | 1/21/2004 CCB<br>(moved to 2.x in 3/2/2004 CCB)                         |
| R20684  | INS        | The correspondence log will cover multiple submissions in the event of a resubmission. The system will display entries for original submission/date and resubmission/date. All log entries will be copied over from the original incomplete submission to the resubmission. | 2.x              |          |          | 3/2/2004 CCB  |

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| R20694  | INS              | The system will provide fields to capture contact name and contact email on the Financial Statement Info page for a Merger/CIO submission.  | 2.x              |          |   | 3/2/2004 CCB                                 |
| R20695  | INS              | The system will prevent an Institution user accessing a resubmission until they choose to view their Incomplete letter.   | 2.x              |          |   | 3/2/2004 CCB                                 |
| R20391  | INS - CHECKLIST  | The system will provide an option on the checklist page to allow an Institution user to select "same" if they have the same contact info for both the compliance audit and financial statement.   | 2.x              | H        | Added 12302003. Needs new LOE.  |  |
| R20642  | INSTITUTION      | The system will automatically create a Correspondence Log entry for each "submission date."   | 2.x              | H        |   | 1/14/2004 CCB                                |
| R20676  | INTERFACE PEPS   | The system will pull the following SG information from PEPS: Name, Two Year, Consolidation Indicator (Group Type), Locator Indicator  | 2.x              |          | eZ-Audit will NOT need any other SG info.   | 2/24/2004 CCB                                |
| R20376  | NEW INSTITUTION  | Change "Initial Application Submission" to "New Institution Submission" throughout the system (i.e. both Institution and Case).   | 2.x              | H        |   | Design Session. Revised during 3/2/2004 CCB. |
| R20395  | NEW INSTITUTION  | The system will check for Initial/Reinstatement submissions to determine the correct Annual Submission Due Date for New Schools.  | 2.x              | H        | Per guidance received from Deborah Gooden on 1218 this requirement no longer applies. 1/29/04 - Decision on procedure is pending.   |  |
| R20625  | NEW INSTITUTION  | The system will require schools existing in system for more than (one or six, pending decision) months between PPA approval and FYE to submit a full Annual Submission (six or nine months after FYE based on type).                                | 2.x              | H        |   | 1/14/2004 CCB. Revised during 3/2/2004 CCB.  |
| R20626  | NEW INSTITUTION  | The system will require schools existing in system for less than (one or six, pending decision) months between PPA approval and FYE to submit only a Financial Statement with their Annual Submission (six or nine months after FYE based on type). | 2.x              | H        | There is an existing requirement that states "The system will check for InitialReinstatement submissions to determine the correct Annual Submission Due Date for New Schools (annual due following Fiscal Year after InitialReinstatement)." This requirement was not in scope for Release 2.0. Per previous guidance from Deborah Gooden, this requirement was considered N/A. | 1/14/2004 CCB. Revised during 3/2/2004 CCB.  |
| R20452  | RESOLUTION AUDIT | The system will allow a Resolution User to record multiple ACDs for a Compliance Audit record.  | 2.x              | H        | For Amended ACD   |  |
| R20453  | RESOLUTION AUDIT | The system will allow a Resolution User to record multiple DDIFs for a Compliance Audit record.   | 2.x              | H        |   |  |
| R20685  | RESOLUTION AUDIT | The system will allow an unlimited number of ACD/DDIF amendments.   | 2.x              |          |   | 3/2/2004 CCB                                 |

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| R20686  | RESOLUTION AUDIT            | The system will allow users to access all amended versions and original ACDs/DDIFs.   | 2.x              |          |   | 3/2/2004 CCB                                 |
| R20687  | RESOLUTION AUDIT            | The system will include original creation date/time stamps and amended date/time stamps for Amended ACDs.   | 2.x              |          |   | 3/2/2004 CCB                                 |
| R20688  | RESOLUTION AUDIT            | The system will allow analysts to create amended ACDs and new DDIFs after an original Audit Package has been archived.  | 2.x              |          |   | 3/2/2004 CCB                                 |
| R20689  | RESOLUTION AUDIT            | The system will require amended Resolution Packages to be sent to Co-Team Leads for approval before being archived.   | 2.x              |          |   | 3/2/2004 CCB                                 |
| R20461  | RESOLUTION CO-TEAM LEAD     | The system will allow a Co-Team leader to perform a sort on the Co-Team Leader queues (Assign and Approve) by submission/record type.                               | 2.x              | H        |   | Design Session. Revised per 3/2/2004 CCB     |
| R20649  | RESOLUTION CO-TEAM LEAD     | The system will allow Co-Team leaders to view team submissions by assignee.   | 2.x              |          |   | 2/4/2004 CCB                                 |
| R20477  | RESOLUTION WAIVER/EXEMPTION | The system will provide a field on the Waiver Exemption Resolution page to capture the date the Waiver is withdrawn.  | 2.x              | H        |   |  |
| R20478  | RESOLUTION WAIVER/EXEMPTION | Remove Expried  | 2.x              | H        | Remove "Expired" field from Waiver Resolution page. Field serves no purpose - system knows when a waiver has expired. |  |
| R20479  | RESOLUTION WAIVER/EXEMPTION | The system will provide a field on the Waiver Exemption Resolution page to allow the resolution user to indicate a Waiver Exemption has been Rescinded.             | 2.x              | H        | Currently labeled Withdrawn.  |  |
| R20420  | RESUBMISSION                | The system will allow an Ins User access to change only the portions of a submission marked "Incomplete" by a QC user for a Resubmission.                           | 2.x              | H        | FS CA Checklist Upload  |  |
| R20421  | RESUBMISSION                | The system will return only previously marked "Incomplete" portions of a Submission to the QC after a school has re-submitted.                                      | 2.x              | H        | Can only be implemented if requirement to only allow a school to access an "incomplete" section is implemented.       |  |
| R20462  | SCHOOL GROUP                | The system will allow Resolution users to view "School Group name" when viewing a school group submission.  | 2.x              | H        |   | Design Session. Revised during 3/2/2004 CCB. |
| R20632  | SCHOOL GROUP                | The system will provide Case Users the ability to view who all records in a School Group submission are assigned to for resolution.                                 | 2.x              | H        |   | 1/14/2004 CCB                                |
| R20635  | SCHOOL GROUP                | The system will reference school groups by Name in all School Group reports (currently references #).   | 2.x              | M        |   | 1/14/2004 CCB.                               |
| R20457  | SCHOOL GROUP RESUBMISSION   | The system will allow an individual location record to be incomplete without requiring other locations in a school group to resubmit for a school group submission. | 2.x              | H        | Design Session  |  |

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| R20468  | SEARCH | The system will display "Submission Date" with Search Results.  | 2.x              | H        | Approved by CTL panel.   |               |
| R20469  | SEARCH | The system will display "Submission Status" with Search Results.  | 2.x              | H        |  |               |
| R20470  | SEARCH | The system will display the "Completeness Indicator" with the search results. (Pending Screener Review, Complete, Incomplete - Awaiting Resubmission, Incomplete - Resubmitted)   | 2.x              | H        | Approved by CTL panel.   |               |
| R20641  | SEARCH | The system will display the submission "status" with the search results (Screener Queue, CTL Queue - Pending Assignment, Analyst Queue, CTL Queue - Pending Approval, Analyst Queue - Post Approval, Archived).               | 2.x              | H        | Requires follow-up to drill down to specific requirements. Modified and Approved by CTL panel. | 1/14/2004 CCB |
| R20662  | SEARCH | The system will allow an FSA user to search by submission "status" on the Search page (Screener Queue, CTL Queue - Pending Assignment, Analyst Queue, CTL Queue - Pending Approval, Analyst Queue - Post Approval, Archived). | 2.x              |          | Approved by CTL panel.   | 1/14/2004 CCB |
| R20663  | SEARCH | The system will allow an FSA user to search by "Submission Date" range on the Search Page.  | 2.x              |          | Approved by CTL panel.   |               |
| R20664  | SEARCH | The system will allow an FSA user to search by "Completeness Indicator" on the search page. (Pending Screener Review, Complete, Incomplete - Awaiting Resubmission, Incomplete - Resubmitted)                                 | 2.x              |          | Approved by CTL panel.   |               |
| R20665  | SEARCH | The system will display the "Deficiency Indicator" with the search results. (Zero Findings, Deficient - Significant Findings, Non-Deficient - Insignificant Findings)   | 2.x              |          | Approved by CTL panel.   |               |
| R20666  | SEARCH | The system will allow an FSA User to search by "Deficiency Indicator" on the Search Page. (No Findings, Deficient, Minor (Insignificant))   | 2.x              |          | Approved by CTL panel.   |               |
| R20667  | SEARCH | The system will display the "Resubmission Indicator" with the search results. (Original, Resubmission)  | 2.x              |          | Approved by CTL panel.   |               |
| R20668  | SEARCH | The system will allow an FSA User to search by "Resubmission Indicator" on the Search Page. (Initial, Resubmission)   | 2.x              |          | Approved by CTL panel.   |               |
| R20669  | SEARCH | The system will display the "Flagged Indicator" with the search results. (Flagged, Non-Flagged)   | 2.x              |          | Approved by CTL panel.   |               |
| R20670  | SEARCH | The system will allow an FSA User to search by "Flagged Indicator" on the Search Page. (Flagged, Non-Flagged)   | 2.x              |          | Approved by CTL panel.   |               |
| R20644  | STUB   | The system will provide a "Stub Audit" function that allows the Institution to submit a Compliance Audit to the Department (should work like Closeout, currently Stub requires both CA and FS).                               | 2.x              | H        |  | 1/14/2004 CCB |

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|---------|------------|---|------------------|----------|--------------------------------|---------------|
| R20377  | SUBMISSION | Remove "Resubmission" as a reason for flagging.   | 2.x              | H        | Added 12302003. Needs new LOE. |               |
| R20645  | SUBMISSION | Submissions should not be forwarded to the Co-Team Leader when it is flagged for change in auditor only. The change in auditor flag should still be seen but not forwarded. | 2.x              | H        |                                | 1/14/2004 CCB |

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|---------|------|--|------------------|----------|--|--------------|
| R20190  | CODE | The system will provide a Screener User a left nav option to access the "Code Findings" page when viewing a submission.  | 2                | H        |  |              |
| R20192  | CODE | The system will allow the Co-Team leader to view the ?Code Findings? page for a submission in the ?Pending Assignment? queue.  | 2                | H        |  |              |
| R20193  | INC  | The system will allow users to retrieve Incomplete Submissions using the "Search" Functionality.   | 2                | H        |  |              |
| R20194  | INC  | The system will display Incomplete Submissions as view-only and non-assignable.  | 2                | H        |  |              |
| R20195  | INC  | The system will label Incomplete Submissions as ?Incomplete? in the Search Results and on the Submission Summary page.   | 2                | H        |  |              |
| R20196  | INC  | The system will create an "Incomplete Letter Report" for each submission marked Incomplete in QC that displays the items that were recorded as incompleteincorrect.  | 2                | H        | 153 154  |              |
| R20197  | INC  | The system will allow a school user to view an "Incomplete Letter Report" for their institution.   | 2                | H        |  |              |
| R20198  | INC  | The system will post a Notification to school user telling them that an "Incomplete Letter Report" has been posted for their Institution.  | 2                | H        |  |              |
| R20199  | INC  | The system will display an automatic entry in the correspondence log for "incomplete letter posted/first incomplete notification email sent" when a submission is marked incomplete in QC and the Incomplete letter is posted. | 2                | H        | Revised to include reference to "email sent" in the posting. | 3/9/2004 CCB |
| R20200  | INC  | The system will record when an "Incomplete Letter Report" is viewed by a School User in the Correspondence Log.  | 2                | H        |  |              |
| R20201  | INC  | The system will provide a Preview Page that allows the Case User to view an Incomplete Letter before it is finalized.  | 2                | H        | Initial Design   |              |
| R20202  | INC  | The system will allow QC User to view an Incomplete Letter.  | 2                | H        | Initial Design   |              |
| R20203  | INC  | The system will provide an "Incomplete" label in the Page Header of all incomplete submissions for Case view.  | 2                | H        | Initial Design   |              |
| R20204  | INC  | The system will provide a Printer-Friendly Version of the Incomplete Submission Letter.  | 2                | H        | Initial Design   |              |
| R20205  | INC  | The system will allow case users to access an incomplete letter directly from Submission Summary.  | 2                | H        | Design Session   |              |

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|---------|---------|--|------------------|----------|---|---------------|
| R20206  | INC     | The system will provide a field on the QC page to allow the user to indicate if any attached PDFs are not viewable.  | 2                | H        | Initial Design. New field based on QC letter design.  |               |
| R20207  | INC     | The system will provide a field on the QC page to allow the QC user to enter comments that they want to display on an Incomplete letter.                                       | 2                | H        |   |               |
| R20208  | INC     | The system will display revised Listbox values for existing QC fields "Area all required documents attached?" and "Are all required attachments properly presented?"           | 2                | H        | See Design Doc for listbox details.   |               |
| R20209  | INC     | The system will display "Resubmit" links to an Institution User for all incomplete submissions regardless of submission type.  | 2                | H        | Design Session  |               |
| R20210  | INC     | The system will send an email to Institution users to notify them when an incomplete letter is posted for a submission.  | 2                | H        | Design Session To: INS President, INS FAA, CA Contact Person, FS Contact Person                 |               |
| R20282  | NAV     | The system will provide left navigation on the Manage Auditor Info page to provide access to other Resolution options.   | 2                | H        |   |               |
| R20283  | NEW     | The system will provide a field on Initial/Reinstatement Submissions to allow a School User to indicate the Schools FYE.   | 2                | H        | REMOVE current process that requires a school with no FYE to submit a change in FYE submission. |               |
| R20284  | NEW     | The system will update a School's FYE when an Initial/Reinstatement Submission is resolved.  | 2                | H        | In based on requirement to incorporate change in FYE with InitialResubmission.                  |               |
| R20285  | QC      | The system will display separate areas in the QC queue to separate submissions where the QC needs to be completed and those where the QC needs to be submitted by an approver. | 2                | H        |   |               |
| R20623  | QC      | The system will permit a QC user to submit the QC page without completing required fields on the QC form when the answer to the question "Are all attached PDFs viewable?"     | 2                | H        | Added per change in 1/14/2004 CCB for moving the PDF question to the top of the page.           | 1/14/2004 CCB |
| R20286  | RES     | The system will display a "Resubmission Date" on the Submission Summary page.  | 2                | H        | Formerly Enhancement SIR # 924. Only populated if there was a resubmission.                     |               |
| R20287  | SCH GRP | The system will set a CUC Group Submission to Resubmit when any of the Locator or Child records are marked "Incomplete" and after all are QC'd.                                | 2                | H        |   |               |
| R20288  | SCH GRP | The system will allow Case Users to access all related attachments when viewing any portion of a CUC School Group submission.  | 2                | H        |   |               |
| R20289  | SCH GRP | The system will calculate the appropriate Due Date for school groups marked as "Two Year."   | 2                | H        |   |               |

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| R20290  | SCH GRP | For both School Group types the system will provide required fields on the FS data entry page to capture the 90/10 Revenue Attestation for all schools in the group by OPEID for Proprietary School Groups. | 2                | H        |                                 |        |
| R20291  | SCH GRP | For both School Group types the system will display text on the FS/CA submission pages to tell school to send an email to eZ-Audit Help Desk if school group information is incorrect.                      | 2                | H        |                                 |        |
| R20292  | SCH GRP | The system will provide a Consolidated/Unconsolidated (C/UC) School Group Locator the ability to complete the FS Info Data Entry page for the group's Annual Financial Statement.                           | 2                | H        |                                 |        |
| R20293  | SCH GRP | The system will provide each school in a C/UC Group the ability to complete the CA Info Data entry page for their Annual Compliance Audit.  | 2                | H        |                                 |        |
| R20294  | SCH GRP | The system will allow a Locator School to complete Compliance Audits for all schools in a C/UC Group.   | 2                | H        | Relies on previous requirement. |        |
| R20295  | SCH GRP | The system will require the Locator School in a C/UC group to complete Checklist items for the Consolidated Financial Statement.  | 2                | H        |                                 |        |
| R20296  | SCH GRP | The system will provide each school in a C/UC Group the ability to complete Checklist items for their Compliance Audit.   | 2                | H        |                                 |        |
| R20297  | SCH GRP | The system will allow a Locator School to complete the Compliance Audit Checklist for all schools in a C/UC Group.  | 2                | H        |                                 |        |
| R20298  | SCH GRP | The system will allow a Locator School in a C/UC group to upload a Consolidated Financial Statement.  | 2                | H        |                                 |        |
| R20299  | SCH GRP | The system will allow a Locator School in a C/UC group to upload a Compliance Audit for itself and for Children by OPEID.   | 2                | H        |                                 |        |
| R20300  | SCH GRP | The system will allow a Child School in a C/UC group to upload a Compliance Audit for its OPEID.  | 2                | H        |                                 |        |
| R20301  | SCH GRP | The system will submit an Annual School Group C/UC Submission to ED once the Locator Consolidated FS Locator Compliance Audit and all Child Compliance audits are submitted.                                | 2                | H        |                                 |        |
| R20302  | SCH GRP | The system will post a notification to a C/UC Locator School Ins Home Page upon submit listing any Children who have not yet submitted a Compliance Audit.  | 2                | H        |                                 |        |
| R20303  | SCH GRP | The system will assign a separate ACN to each compliance audit record in a C/UC Group.  | 2                | H        |                                 |        |



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| R20304  | SCH GRP      | The system will recognize an Institution School Group type upon login and display the appropriate submission pages for that type.   | 2                | H        |                           |                           |
| R20305  | SCH GRP      | The system will route C/UC Submission Financial Statements to a Co-team Leader/Case Team based on the Locator's team.   | 2                | H        |                           |                           |
| R20306  | SCH GRP      | The system will route C/UC Submission Compliance Audits to Case Teams based on the team of the School.  | 2                | H        |                           |                           |
| R20307  | SCH GRP      | For non-SG users remove SG references on the Submission pages.  | 2                | H        | Initial Design already in |                           |
| R20308  | SCH GRP      | Change text change on the submission pages for SG to say "Our records indicate that this group contains the following OPEIDs?"  | 2                | H        | Initial Design already in |                           |
| R20309  | SCH GRP      | On Ins Profile add indicator for locator school (school group only).  | 2                | H        | Initial Design            |                           |
| R20310  | SCH GRP      | Display a grid on the Submit Page for a Locator user to allow them to indicate who they are submitting for.   | 2                | H        | Initial Design            |                           |
| R20311  | SCH GRP      | The system will display a "notification" or message on the CA info page to display to a School Group user Locator user which CA record is active.   | 2                | H        | Design Session            |                           |
| R20312  | SCH GRP      | The system will display City and State in the school group table grid on the CA and FS Information page.  | 2                | H        | Design Session            |                           |
| R20313  | SCH GRP      | The system will provide a "Select All" option on the Submit page for the Locator submit grid.   | 2                | H        | Design Session            |                           |
| R20314  | SCH GRP      | Display a "completed" notification for a member submitting for their own OPEID.   | 2                | H        | Initial Design            |                           |
| R20315  | SCH GRP      | The system will continue to display annual submission link to a locator until submission is submitted to ED.  | 2                | H        | Initial Design            |                           |
| R20624  | SCH GRP      | The system will display text on the submission page for both School Group Locators and Members stating that ""If your institution is part of a school group, please note that the record is not transmitted to ED until all the members of the school group have completed their portion of the submission. For further explanation, refer to the "Step-By-Step Guide to Using eZ-AUDIT." | 2                | H        |                           | Added by CCB on 1/14/2004 |
| R20337  | SCH GRP - QC | The system will display one financial statement record and multiple Compliance Audit records in the QC Queue for a CUC Annual Submission.   | 2                | H        |                           |                           |
| R20338  | WORKFLOW     | The system will move a Compliance Audit record from the QC Queue to the Screener queue as soon as the record is submitted as "Complete" in QC.  | 2                | H        |                           |                           |

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| R20339  | WORKFLOW | The system will forward records to the Co-Team Leader when a Financial Statement is marked "Complete" in QC and a Compliance Audit (or related Compliance Audits) are screened complete and findings are Coded (when applicable). | 2                | H        |          |        |